

Office of Legacy Management

Human Capital Management Plan



Update 4th Quarter FY 2005
September 2005

SUMMARY

The Office of Legacy Management (LM) was established in the Department of Energy (DOE) on December 14, 2003. The Office reports directly to the Under Secretary for Energy, Science and Environment and has two major responsibilities: (1) long term stewardship and post closure management of the Department's nuclear facilities and (2) funding and managing pensions and benefits of the former contractor workforce at these facilities. A Federal staff of approximately 75 FTEs and a Support Contractor Staff of approximately 200 FTEs performs these responsibilities. The staff performs the LM mission by accomplishing the following four strategic goals:

- Protect human health and the environment through effective and efficient long-term surveillance and maintenance.
- Preserve, protect, and make accessible legacy records and information.
- Support an effective and efficient work force structured to accomplish Departmental missions and assure contractor worker pension and medical benefits.
- Manage legacy land and assets, emphasizing protective real and personal property reuse and disposition.

This document constitutes the update of the LM Human Capital Management Plan for the 4th quarter of FY2005. The update specifically addresses the “yellow” issues identified in the DOE Internal PMA Scorecard for Human Capital Management (HCM) – FY 2005, quarter 2. Where there were comments on “green” requirements, those comments are also addressed. By reference, this update incorporates the Office of Legacy Management Human Capital Management Plan for FY 2005; specific actions taken are shown in red text in the attached Human Capital Strategy Workforce Action Plan.

CONSIDERATIONS AFFECTING THE UPDATE

In December 2004, the Department's senior management team and Office of Competitive Sourcing approved an LM proposal for a self-assessment project that would lead to LM obtaining status as a High Performing Organization as operationally defined by the Office of Management and Budget and the General Accounting Office of the Office of the Comptroller General. The project also would be the vehicle for LM establishing a Most Effective Organization as the term is used in OMB Handbook A-76. The self-assessment project encompasses the areas of organization, processes, and staffing requirements. The project started in early FY 2005 and is currently in the final fact-finding, analysis, and recommendation stages. Final recommendations for attaining HPO/MEO status will be made to LM senior management and DOE's Competitive Sourcing Executive Steering Group in November 2005 and a final report to OMB is expected in January 2006.

Upon completion of the self-assessment project in 2006, LM will prepare a new Human Capital Management Plan for the period FY2007 through FY2010. For FY 2006, LM intends to extend and update the current Human Capital Management Plan.

SPECIFIC RESPONSES TO FY05, Q2COMMENTS

Comment: For Q4 provide milestones to demonstrate improvement on the LM portion of the 45-day and 30-day SES standards.

LM Response: Milestone:

1. FY06, Q1: LM goal is to achieve 24 hour response time to HR inquiries.

In order to help HQ HR and NETL HR (LM's servicing personnel offices) reach their 45-day and 30-day SES hiring standards, LM has committed to responding to HR inquiries or requests for further documentation within 24 hours of receipt of the request.

Comment: The skill gap spreadsheet has been submitted, and hiring and training are detailed on pages 15-17, but are not tied to the critical skills needs documented in the spreadsheet. For Q4 provide specific milestones showing how the gaps identified in the updated spreadsheet are expected to be eliminated.

LM Response: Milestones

1. FY06, Q1 and Q2: Begin implementation of the process improvements identified in the self-assessment and, using the data from the staffing analysis, redefine the staffing needs for functions and activities in the HPO/MEO LM organization.
2. FY06, Q2 and Q3: Develop new position descriptions and match current workforce competencies against those needed in the new organization and positions.
3. FY06, Q3 and Q4: Reassign current LM staff to new positions and schedule employees for training to acquire lacking competencies; identify skills gaps in new organization.
4. FY06, Q4: Recruit as needed for positions which cannot be filled by internal placement and training.

Findings to date in the self-assessment project indicate that only a very few, highly specialized functions will require external recruitment. With those exceptions, LM expects to fill critical skills gaps with reassignments, directed or voluntary, within the workforce present in FY2006.

Training has been a high priority for LM in FY05 and will continue so in FY06. The training budget for FY05 was set at \$128K. The budget for FY06 is currently estimated at \$120K. LM's first priority is providing the training needed to further develop its employees' skills needed for their new position assignments.

In FY05, skills training has been completed in the following areas:

- **Information Technology:** Understanding Enterprise Architecture 40 hour training completed by two IT personnel; 2005 Cyber Security Conference was attended by 3 IT personnel for 24 hours each; the Annual Information Management Conference was attended by 1 IT personnel for 24 hours training; all LM employee's completed the HQ annual security briefing for 2 hours each
- **Project Management:** PMCDP Integrated Safety Management course completed by 1 personnel for 24 hours; Acquisition Strategy and Planning course for 24 hours completed by 2 personnel; PMCDP Leadership/Supervision course completed for 24 hours by 1 personnel.
- **Human Resources:** Suitability Adjudication course completed by 1 personnel for 24 hours; Job Analysis and KSA Examining course for 24 hours each completed by 2 personnel; Workforce Planning course for 16 hours each completed by 2 personnel
- **Supervisory Training:** Correcting Employee Conduct and Performance, course completed by 5 supervisors and 1 HR personnel for 16 hours each.
- **Records Management:** FOIA/Privacy Act course for 32 hours completed for 1 personnel; ARMA Conference with training attended by 4 RM personnel for 32 hours each; RACO Conference attended by 3 personnel for 8 hours each; Records Management Development for 8 hours by 1 RM personnel; Asset and Risk Management course for 16 hours by 1 RM personnel; Managing Electronic Records for 8 hours by 1 RM personnel; Vital Records for 8 hours by 1 RM personnel; NARA Conference for 8 hours by 2 RM personnel.
- **Leadership Transition Program:** One employee has attended the following 8 hour courses sponsored by this program: Networking; Myers Brigg Type Indicator; Team building; HR for Managers and Supervisors; Power Image Workshop; Embracing Workforce Differences
- **High Performing Organization Training:** 3 personnel attended a 40-hour HPO training course and the rest of the LM organization was present for a 16 hour condensed version of HPO training.

Comment: No specific goals are given for a succession-planning program. For Q4, provide milestones to implement succession-planning strategies, documenting results in creating a talent pool.

LM Response: The comment is accurate in the sense of a formal plan. However, LM has taken individual actions to replace known critical skill losses. A senior IT specialist has announced firm plans to retire in the near future; in response LM recruited an understudy to be ready to replace him. After completion of the HQ Supervisory Bench Strength Worksheet, LM identified a senior manager in a critical position expected to retire within the next one to two years. LM has designated one of the five critical hires be used to

recruit his replacement. At the time of establishment, LM was formed by directed reassignment of employees at senior grades and long service, to the level of staffing authorized in the 2004 budget. A succession plan was not feasible during the initial operations. However, LM has experienced 11 retirements during FY2005 and is in the process of conducting a self-assessment as discussed in the summary above. LM intends to use these vacancies and other positions identified during the self-assessment to restructure positions and grades to establish a talent pool of employees in developmental positions. In addition, LM will identify critical positions in the new organization and specifically plan for replacement of those skills.

Milestones:

1. FY06, Q1 and Q2: Identify staffing needs and restructuring opportunities contained in the staffing analysis performed during the self-assessment.
2. FY06, Q2 and Q3: Develop new position descriptions, ensuring that the staffing structure includes developmental positions; identify critical skills positions.
3. FY06, Q3 and Q4: Develop position specific strategies for succession in critical skills positions; develop a strategy for senior management succession. Critical skills positions are defined as those for which the knowledges, skills, and abilities or educational requirements are such that they would not be expected to be found in the LM general workforce. Examples could be positions such as Benefits Economist, Health Physicist and Actuary.

Comment: For Q4 specifically address steps being taken to establish linkage to the DOE Portal

LM Response: LM currently has three registered Federal and four contractor users with access to the OCIO corporate knowledge management portal for cyber security and enterprise architecture.

Comment: Strategies and processes to address under-representation are addressed on pages 20-21, but no specific goals are given. For Q4, provide specific goals in milestones for FY2005 and FY2006, as well as results for FY2005.

LM Response: LM has identified and achieved a goal of 25% minority representation in its staff. For FY2006 and beyond, LM will identify occupational groups having less than 25% representation and will develop operating procedures for ensuring that minorities are aware of and encouraged to seek consideration for LM vacancies.

Milestones:

1. FY06, Q1 to Q4: As positions are approved for recruitment, ensure that minority-recruiting sources are included in the recruitment plan.
2. FY06, Q3 and Q4: As part of the reassignment of LM personnel to the new positions, identify occupational groups (those series with 4 or more positions represented) which have a less than 25% minority representation. Ensure that

recruitment plans for these groups include positive efforts to recruit minority candidates.

Comment: For Q4, provide milestones for restructuring improvement and address the use of competitive sourcing and e-gov in optimizing organizational structures.

LM Response: As noted in the summary, LM is in the final stages of data acquisition and analysis of the HPO/MEO self-assessment. Final milestones for implementation have not been established, however the current indications are that implementation of the restructured organization will begin in FY06, Q2. Detailed milestones will not be possible until final approval of the self-assessment is received, however all indications at this point are that the new organization will continue to utilize competitive sources for support functions and that the organization will continue to be a dispersed, virtual one using electronic communications systems. This is the overarching generalization of the responses and milestones above; a full plan for implementation will be prepared in FY06, Q2.

Milestones:

1. FY06, Q1: Prepare final report and recommendations to DOE senior management
2. FY06, Q2: Submit final HPO package to OMB for review and approval; implement reorganization.
3. FY06, Q2: After approval of DOE/OMB is approved, develop long-term implementation plan for the new LM organization.

Comment: For Q4, provide updates on the LM performance management program.

LM Response: As part of the self-assessment, LM has established a management-employee team to design an LM system for implementing the new Non-Supervisory Performance Management system for DOE. The team has defined a conceptual approach to implementation, an approach that includes refocusing position descriptions and performance standards on competencies and published LM values. The new approach is expected to include stakeholder feedback mechanisms. The team is continuing to analyze opportunities and is scheduling training on competency based performance management. The start of preliminary implementation will be delayed until the first performance rating cycle after the new DOE Nonsupervisory Performance system is finalized. Additionally, as LM develops its FY06 performance plans it will once again ensure the cascading of PMA initiatives, DOE goals, and LM goals into supervisor and employee performance elements.

ATTACHMENT 1: Human Capital Strategy Workforce Action Plan

1. Initiative: Conduct Skills Gap Analysis

Milestones:

- Conducted a review of all position descriptions and identified 35+ positions that required new descriptions. *Action completed November 2003.*
- Critical skills identified include pension and benefits, labor relations, regulatory skills, information and records management, real estate, program planning, and budget infrastructure. *Action completed December 2003.*
- Prepare and have classified by HR current and accurate position descriptions for LM employees.
 - All new LM positions written by December 2004
 - Critical recruit actions are on-going as needed
- Skills Gap conducted in January 2004. *Action complete for 2004. Will revisit annually.*
- Completed Retirement Analysis. *Action completed January 2004.*
- Skills gap analysis identified 36 positions targeted for incentivized optional/early out authority. *Action completed January 2004.*
- Submitted requests for buyout authority and voluntary early out authority June 1, 2004–September 30, 2005. *Request submitted April 2004. Approval received July 28, 2004.*
- Buyout Implement Plan sent to Headquarters Union for concurrence. Incentives window was open October 1, 2004–January 8, 2005. *Four LM personnel took advantage of this incentive opportunity.*
- **Second incentive window opened June 1–Sept 17, 2005. Seven LM personnel took advantage of this final incentive opportunity. *Action complete September 2005.***
- **Skills Gap Inventory completed for FY2005. No further hiring will take place in FY05 due to the self-imposed hiring moratorium pending completion of LM's organizational self-assessment.**

2. Initiative: Hiring Goals

Milestones:

- LM vacancy ETR-04-LM-1-0003 posted for SES position of Program Manager, which serves as Deputy to the Director, LM. *Vacancy opened April 29, 2004 and closed May 31, 2004. Also posted in the Washington Post on May 23, 2004, on the Blacks in Government website, and on the National Council of LaRaza website. A selection was made and sent to ERB for approval. Action completed September 2004.*

- After announcing through CTAP, Ellen Leyba, Business Management Specialist, GS-1101-14 was directly reassigned to LM-20 as a Contractor Industrial Relations Specialist. *Action effective May 9, 2004.*
- LM vacancy LM-04-03 posted for GS-343-7/9/11 Program Analyst position located in Morgantown, WV, and Pittsburgh, PA. *Vacancy opened May 17, 2004, and closed June 1, 2004. Two LM-10 employees were selected at the GS-9 level. Action completed June 2004.*
- LM reassigned a GS-14 Realty Officer from NNSA with a duty location of Las Vegas, NV. *Action completed June 2004.*
- LM vacancy LM-04-04 posted for GS-501-9/11 Financial Management Specialist position located in Morgantown, WV. *Vacancy opened May 13, 2004 and closed May 20, 2004. Selection made at the GS-11 from outside the Government. Action completed August 2004.*
- LM was successful in reassigning in LM-30 a Realty Specialist (critical skill gap series). *Action effective June 28, 2004.*
- After announcing through CTAP, Maria Vignone, Program Analyst, GS-301-13 was directly reassigned to the LM-10 records management area. *Action completed August 2004.*
- A transfer of function action was completed for Thomas Pauling, GS-13 Environmental Engineer from Oak Ridge, TN, to Grand Junction, CO. *Action completed August 2004.*
- LM is in the process of working out the details for the transfer of functions for two EM employees to LM. The goal is for the first pay period of the new fiscal year. *Action completed October 2004*
- On 5/19/2005, the Director of LM placed a hiring moratorium for all of LM except five critical positions identified on its critical hire list. Backfilling any vacancies resulting from LM's buyout incentives are on hold pending the outcome of the LM self-assessment.
- LM recruited and hired a GS-2210-12 Information Technology Specialist (critical hire list) in July 2005 as succession planning for the senior IT specialist. *Action complete July 2005*
- LM recruited and hired a GS-301-15 Contractor Industrial Relations Specialist (critical hire list) in September 2005 with a report date of October 2005. *Action complete September 2005)*
- LM recruited and hired a GS-801-15 General Engineer (critical hire list) for the Director position in the Office of Land and Site Management in September 2005 (selection made from within the LM organization). *Action complete September 2005.*

3. Initiative: Performance Management

Milestones:

- Performance plans put into place for LM employees. *Completed January 2004; identified as an annual milestone.*

- Performed an analysis of all employee performance plans and created a spreadsheet to identify performance goals that include the PMA and DOE mission objectives. Analysis currently identified 100% of LM employees as having the critical criteria. The spreadsheet is available upon request. *Action completed May 2005.*
- Schedule for completion of the FY2005 Performance Appraisal and award payout sent to all LM Supervisors and employees. *Action complete September 2005*
- An approach to shift towards competency based PD and performance elements was developed for LM employee's to incorporate into the new DOE performance management system over the next two years.

4. Initiative: Training Needs

Milestones:

- LM Training Budget identified for FY04. *Action completed December 2003.*
- Individual Development Plans completed for LM employees. *Action completed January 2004.*
- Analyzed past leadership training provided to LM employees. *Action complete.*
- Log training processed for LM employees. *Action ongoing.*
- Called for FY05 training budget. *Action complete June 1, 2004.*
- Call to LM Managers for FY06 Training Budget. *Action complete September 2005*
- LM Personnel completed over 2000 hours of skills training during FY05. Specific skill training courses are detailed in the Workforce Plan text; Section IV.6.C.

5. Initiative: Establish Information Management/Knowledge Management

Milestones:

- LM website created. LM Intranet scheduled for online availability July 2, 2004. *Action completed. Intranet available August 2004.*
- LM portal developed. *Action currently in testing phase (August 2004). LM portal scheduled for online availability October 2004.*
- LM portal employee training scheduled for July/August of this year. *Action completed August 2004.*
- LM purchased more modules and licensing software from Hummingbird to further develop its knowledge management capability. *Action completed December 2003.*
- LM currently developing the document management module in Hummingbird for filing electronic records for knowledge management. *Action scheduled for completion in October 2004. Action complete in June 2005.*

- LM currently developing the records management module in Hummingbird to index the volume of records management transitioning to LM. *Action scheduled for completion in October 2004. Currently undergoing organizational pilot testing September 2005.*

6. Initiative: High Performing Organization

Milestones:

- October 2004 LM held a retreat to introduce the HPO Initiative. Complete
- February 2005 LM met with Unions to gain support. Conducted HPO kickoff at LM all-hands meeting. Complete
- March 2005 call for volunteers for the five HPO Teams. Complete
- April 2005 LM group training on HPO concepts and self-assessment techniques. Complete
- April-September Data Collection and Analysis. Ongoing
- October 2005 - Develop model structure and begin writing final report.
- November 2005 - brief unions on final org structure.
- December 2005 - brief Departmental management
- January 2006 - Prepare HPO implementation plan; acquire Deputy Secretary approval to execute HPO Implementation plan; deliver HPO report to OMB for approval.

7. Initiative: FAIR Act Inventory

Milestones:

- Completed draft inventory and working with LM Managers to finalize. *Action in progress; submitted to HQ June 2004; identified as annual milestone.*
- *LM reduced their Code Z positions from 39 in 2004 to 14 positions in 2005. LM reduced their Code A positions from 25 in 2004 to 15 positions in 2005. Code B positions increased from 15 in 2004 to 47 in 2005. Action complete.*

8. Initiative: Succession Planning

Milestones:

- LM's Director is a Political Appointee and management identified a need to recruit a career SES Deputy position to ensure stability and mission accomplishment for the new organization. The new SES position of Program Manager will serve as Deputy to the Director, LM. *Vacancy opened April 29, 2004, and closed May 31, 2004. It was also posted in the Washington Post on May 23, 2004, on the Blacks in Government website, and on the National Council*

- of LaRaza website. All qualified GS-15's within the LM organization were also encouraged to apply for the position. A LM employee was selected and approved by the ERB. Action effective May 2005.*
- In FY05, LM will offer interested employees an opportunity to participate in the Aspiring Leader Program, Executive Potential, and the Executive Leadership Program. Goal is to allow up to two employees to participate. *Program announced, no LM applications received for the above listed programs; however one employee is enrolled in another yearlong Leadership Program sponsored by DOE. Action complete September 2005.*
 - LM has one career ladder employee from LM-20 enrolled in a yearlong Leadership Transition Program. Training will be completed in May 2006.
 - LM recruited for one IT person to replace the IT Manager who informed LM of his planned retirement at the end of calendar year 2006. *Action completed July 2005.*
 - LM completed the HQ Supervisory Bench Strength Report and identified one critical position for succession in the Office of Budget. Financial Manager position will be recruited in early FY06. *Action in process.*

9. Initiative: Diversity

- LM recently recruited for an SES position of Program Manager, which serves as Deputy to the Director, LM. Announcement was advertised to both status and non-status candidates. *It was also posted in the Washington Post on May 23, 2004, on the Blacks in Government website, and on the National Council of LaRaza website to ensure that a diverse audience could apply for the position*
- Currently LM-10 management is providing on-the-job training for two Program Support Specialists (GS-9) and one Office Automation Assistant (GS-7). All three employees are minority. Prior to their crosswalk into the LM organization, these employees were utilized primarily as clerical staff. It is LM management's desire to provide the training and experience to help ensure their qualification for upward mobility and career change and growth. *OJT continued through FY05; however, no further action could be taken due to LM's self-imposed hiring moratorium.*
- This year LM participated in hiring three minority summer students through a program sponsored by the DOE HQ Office of Civil Rights. LM management will continue to work with the Department of Energy's Special Programs Office and the Office of Civil Rights to ensure that diversity recruitment and hiring goals are met in FY06. *Action complete June 2005.*
- LM's comparison with DOE's overall statistics showed that LM rated higher than DOE overall in female hires (LM 48%), and minority hiring (LM 25%). *LM's overall goal of 25% minorities maintained in FY05.*
- LM announced a Correspondence Control Specialist GS-301-9/11 position and selected from within LM a black male clerical assistant. *Action complete August 2005.*

ATTACHMENT 2: Business Plan

INTRODUCTION

The Office of Legacy Management was created as a stand alone office on December 14, 2003, to ensure that the Department of Energy continues to make progress in addressing the challenges of reducing the environmental consequences of its actions and expediting the cleanup of its sites. This new organization will allow for optimum management of legacy responsibilities and ensure the future protection of human health and the environment. In addition to programmatic functions, LM will inherit the regulatory and legal responsibilities associated with the sites that transfer into its authority.

The Office of Legacy Management is comprised of the former Office of Worker and Community Transition, the former Office of Long-Term Stewardship from the Office of Environmental Management (EM), the former EM personnel located at the National Energy Technology Laboratory in Morgantown, WV, and Pittsburgh, PA, and the former EM personnel located at the Grand Junction, CO, Office.

The mission of LM will be executed through three broad activities: ensuring worker benefits and labor relations, continuing asset management, and providing environmental surveillance and maintenance. For LM to achieve its mission it recognizes that the proper employee skill mix needs to be attained and workforce planning is essential to achieving the desired workforce needs.

This business plan includes the LM mission, vision, and strategic goals adopted thus far. A workforce analysis plan is evolving and under construction. As LM continues to stand up, “get its feet on the ground,” and have an operational history, the other components of the overall human capital plan will be generated. As a newly established Office within DOE, these plans are in their infancy stages and will continue to be built upon to create a solid plan for the future of LM.

MISSION

The mission of LM is to “manage the effects of changes in the Department’s mission requirements and ensure the future protection of human health and the environment.” The Office of Legacy Management is responsible for ensuring that Departmental post-closure responsibilities resulting from nuclear weapons production and Cold War legacies are met.

Removing the long-term stewardship and benefit continuity functions from Environmental Management after site closure and remediation will enable Legacy Management to consolidate programs of a similar nature. This move will provide the affected communities a single focal point of legacy management expertise and facilitate communication among the elements of legacy management. Most importantly, concentrating the functions in an office dedicated to legacy management will heighten the visibility and, consequently, the accountability to the affected communities for successful performance of these important Departmental functions.

In addition to programmatic functions, Legacy Management will inherit the regulatory and legal responsibilities associated with the sites that transfer into its authority. The strategic plan addresses the responsibilities that Legacy Management will inherit and outlines a comprehensive management plan to ensure that all environmental and human legacy issues are appropriately addressed.

The Department recognizes that, as facilities close and environmental remediation accelerates, LM’s responsibilities will increase, requiring effective management. The LM program will be amended when appropriate to reflect a rigorous analytical foundation, full utilization of best business practices, and effective coordination with stakeholders.

BUSINESS VISION

The vision of LM is to manage Departmental legacy responsibilities in a manner that best serves departmental workers, communities, and the environment. The following principles have been adopted as essential guideposts to achieving the vision of the LM organization and aiding the accomplishment of LM's mission:

- Human health and the environment are protected, and the effects of residual contamination are maintained at protective levels through consistent and effective long-term surveillance and maintenance.
- Records and information are preserved and made publicly accessible.
- Public trust is achieved through cooperative partnerships with stakeholders and State, Tribal, and local governments.
- The Department's former contract workforce is compensated through effective management of its health and pension benefits.
- Land is returned to the most beneficial use consistent with the Department's mission requirements.
- Impacts of Departmental workforce restructuring are mitigated, working in partnership with Departmental workers, labor unions, and communities to adapt to changes in the Department's mission.

With these principles in mind, LM is focused on training, recruiting, and maintaining a highly competent workforce with the necessary skills to operate LM in the most efficient manner. LM recognizes the need for workforce planning and is committed to the Department's workforce succession planning in support of the President's Management Agenda (PMA) regarding human capital management. As a young organization, LM's Workforce Plan is expected to evolve over the next several years until the desired skill mix is achieved and the sole focus of attention is utilizing its resources toward efficient program management.

STRATEGIC GOALS

Legacy Management has identified five strategic goals that contain objectives and strategies identified to attain successful performance indicators.

STRATEGIC GOAL #1

Protect Human Health and the Environment Through Effective and Efficient Long-Term Surveillance and Maintenance.

This goal highlights the Department's responsibility to ensure the long-term protectiveness of environmental remedies used to remediate legacy waste.

Many Departmental facilities cannot be remediated to levels that allow for unrestricted use because of technical or economic limitations, worker health and safety challenges, or collateral ecological damage caused by remediation. These facilities are, or will be, required to meet regulatory standards to ensure that engineered and institutional controls employed as part of the remedy are protective of human health and the environment. Legacy Management will ensure that these controls remain effective. Given the long-lived nature of radionuclides and other residual hazards, it is reasonable to assume that, at some facilities, long-term surveillance and maintenance will be required for hundreds or even thousands of years.

The Department currently conducts long-term surveillance and maintenance at more than 30 sites, including Formerly Utilized Sites Remedial Action Program sites, Uranium Mill Tailings Radiation Control Act sites, and portions of Departmental sites where active cleanup has been completed.

The Department recognizes that, as its environmental remediation efforts are accelerated and facilities are cleaned and closed, its long-term surveillance and maintenance responsibilities will increase, requiring a more comprehensive and effective management approach. The Office of Legacy Management will continue to improve the Department's long-term surveillance and maintenance program, ensuring the continued protection of human health and the environment.

OBJECTIVE 1A

Effectively manage post-remediation responsibilities and liabilities.

Strategies:

- Conduct long-term surveillance and maintenance at sites under Legacy Management's authority, ensuring the long-term protection of human health and the environment by the utilization of sound project management, engineering, and scientific principles.
- Perform and manage final activities required at sites where environmental restoration is significantly complete.

- Monitor, evaluate, and improve the effectiveness of long-term surveillance and maintenance strategies.
- Ensure that contingency plans are in place and adequate funds are available.
- Work effectively to meet current environmental, health, and safety requirements and regulations.
- Communicate with other stakeholders involved in long-term surveillance and maintenance activities and work with regulators and State, Tribal, and local governments to share lessons learned and technologies.
- Minimize the Department's environmental liability for surveillance and maintenance consistent with laws and regulations.
- Prepare in advance, using a site transition framework, to ensure the smooth transition of sites into Legacy Management's authority.

Success Indicators:

- High percentage of periodic reviews completed on time with regulator concurrence and/or acceptance of remedy protectiveness.
- All post-closure regulations met and final remedies maintained in accordance with applicable laws.
- Community acceptance of maintaining remedies.

OBJECTIVE 1B

Ensure that long-term surveillance and maintenance responsibilities are understood and built into the way the Department does business.

Strategies:

- Develop the long-term surveillance and maintenance baseline and integrate it into the Department's management policies and long-term surveillance and maintenance principles.
- Facilitate Department-wide understanding and agreement on the scope of long-term surveillance and maintenance and resolve relevant issues through the Field Management Council or other appropriate processes.

Success Indicators:

- High percentage of long-term surveillance and maintenance plans developed and implemented for sites requiring them.

- Incorporation of critical long-term surveillance and maintenance elements into all relevant Departmental orders, planning, and management systems.

OBJECTIVE 1C

Have the capability and tools in place to ensure continuous improvement in the effectiveness of long-term surveillance and maintenance for current and future generations.

Strategies:

- Identify and assess the capabilities and resources needed to conduct future long-term surveillance and maintenance and ensure that they are obtained.
- Identify and understand alternative funding mechanisms so that Federal, State, Tribal, and local authorities can be assured that necessary long-term surveillance and maintenance activities are or will be maintained.
- Track and use advances in science and technology to improve sustainability and ensure protection.

Success Indicators:

- Percentage reduction in the cost of operating, monitoring, and maintaining environmental remedies.
- Risk reduction to human health and environment maintained or improved.

STRATEGIC GOAL #2

Preserve and Protect Legacy Records and Information.

This goal recognizes Legacy Management's commitment to successfully manage all records and information of a site transferring into its authority.

Currently the Department's closure sites' records are managed consistently with legal and regulatory requirements, using National Archive and Records Administration guidance. As sites are identified for mission closure, remediated, and transferred into Legacy Management's authority, the associated site records and information will be transferred as well. Legacy Management will be the custodian for closure sites' records. Ultimately, this will be an enormous and costly undertaking, including the records for more than 100 sites across the country. Following closure of Mound, Fernald, and Rocky Flats, for example, the office will be custodian of more than 200,000 cubic feet of records.

The records that Legacy Management inherits from closure sites will support the office's mission in a number of ways:

- The records contain information on the cleanup processes employed at the sites, which will be instructive to Legacy Management's long-term surveillance and maintenance program.
- The records contain data on compliance with regulatory requirements and the technical remedies for cleanup of the sites, which will assure regulators that these sites do not pose unacceptable risks to their communities.
- The records include information on work activities and health data of site personnel, which will be crucial to assuring workers of the continuity of their medical and pension benefits.
- Most importantly, the records ensure that the American public has access to information on governmental operations.

Legacy Management's records and information program will develop and implement a management approach that protects, preserves, improves, and provides appropriate access to critical records and information systems. Additionally, the program will provide the structure and solutions for effectively and efficiently identifying, collecting, and disseminating information from record sources to internal and external users. The program will work closely with the public, ensuring that information needs are met and that stakeholder issues are incorporated into Legacy Management's processes and future decisions.

OBJECTIVE 2A

Effectively and efficiently manage all records integral to conducting Legacy Management's mission, including those used to perform long-term surveillance and maintenance and ensure benefits continuity.

Strategies:

- Develop and implement a records management program that provides appropriate access to records and retention of critical information necessary to perform the Legacy Management mission.
- Identify, evaluate, and coordinate the development of Legacy Management records and information management practices with internal and external organizations.

Success Indicators:

- Compliance with records management laws and regulations.
- Effective and efficient transfer of records from closure sites into Legacy Management's authority.

- Records developed and maintained in a cost-effective manner.

OBJECTIVE 2B

Identify and establish accessibility and security requirements for records and information management systems, both internal and external, to provide effective access to information for impacted workers and stakeholders.

Strategies:

- Determine the records and information requirements and functional access needs by reviewing the existing and documented record and information requirements of the Federal, State, Tribal, and local governments, stakeholders, and the public. Reevaluate these requirements periodically.
- Determine the information resources needed by Legacy Management sites to support the development, operation, and maintenance of and access to information systems.
- Develop sustained capability for public access, retrieval, and comprehension of the long-term surveillance and maintenance information.

Success Indicators:

- Access mechanism for internal and external requests of legally releasable records for which Legacy Management is the custodian.
- Stakeholder access to legally releasable custodial information.
- Cost-effective public access systems.
- No release of custodial records to unauthorized sources.

STRATEGIC GOAL #3

Support an Effective and Efficient Workforce Structured to Accomplish Departmental Missions and Ensure Worker Pension and Medical Benefits.

This goal recognizes the Department's commitment to its workforce and the consistent management of pension and health benefits. As sites continue to close, the Department faces the challenges of a growing pension plan and health benefits liability.

The Department is committed to mitigating the impact of Departmental restructuring on its workforce and ensuring the continuity of their pension and medical benefits. Legacy Management will oversee workforce planning for the Department, assist in developing benefits packages for displaced workers, oversee labor relations efforts, and lessen the impact of workforce restructuring on affected workers.

Since 1993, more than 50,000 contractor personnel have been separated without site work disruptions or legal actions. Through this workforce reduction, the Department has realized annual savings of almost \$4 billion. Legacy Management will continue to support restructuring efforts within the Department while maintaining the effectiveness of the contractor workforce.

In addition, Legacy Management will ensure the continuity of this workforce's pension and medical benefits. In the next three to five years, three Departmental sites (Mound, Fernald, and Rocky Flats) are expected to close as active site remediation activities are completed. The contracts with the site contractors will terminate, and contracted employees subsequently will lose their jobs. However, these closure site employees are contractually entitled to an array of employee benefits funded by the Department. Some of the benefits (defined benefit pension, self-insured long-term disability, medical continuation, severance, and retiree life and health insurance) have been either not fully funded or not funded at all. It is anticipated that at least with respect to retiree medical benefits, there will be a continuing need to administer and manage a benefits program to deliver the promised benefits. It is against Departmental policy to assume the role of plan sponsor and fiduciary duties, as those responsibilities must remain with the plan sponsor.

The total liability for unfunded post-closure benefits (for Rocky Flats, Mound, Fernald, Pinellas, Grand Junction, and the gaseous diffusion plants in Ohio, Kentucky, Tennessee) is in excess of \$1 billion (unfunded pension benefits, retiree health and life insurance, and post-employment benefits, such as accrued vacation, severance, long-term disability, and medical benefits for displaced workers). The liability will more than likely not be fully settled for decades. Legacy Management will develop a plan of action to pay out medical and pension benefits consistently and comprehensively at all closure facilities. It will create sound policy and guidance to adequately and efficiently fulfill the Department's obligations.

OBJECTIVE 3A

Develop and implement a Departmental approach and guidance that ensure the continuity of contracted employee pension and medical benefits.

Strategies:

- Establish policy for, coordinate the implementation of, and evaluate the outcomes of workforce restructuring consistent with Section 3161 of the National Defense Authorization Act of 1993.
- Prescribe a consistent methodology for cost analysis for current employee and retiree benefits programs.
- Clarify the processes, roles, and responsibilities from review to approval of benefit plan changes.

- Evaluate the feasibility of implementing a model program designed to make the medical benefits program more consistent across closure sites, and facilitate efficient and effective benefits delivery.
- Acquire and maintain contractor support of this program.

Success Indicator:

- Consistent legacy benefit and pension delivery to all Departmental contractors at closure facilities.

OBJECTIVE 3B

Ensure the fair treatment of workers by effectively planning and managing workforce restructuring and by providing incentives for orderly reductions in contractor personnel.

Strategies:

- Direct workforce planning to control the amount of enhanced severance benefits that are permitted for a particular workforce separation.
- Provide separation benefits comparable to industry standards while achieving annual savings that are three times the one-time cost of separation.
- Coordinate with Departmental field management in managing the workforce planning process (e.g., approving necessary involuntary separations, providing enhanced benefits, and submitting final workforce restructuring plans to Congress).
- Ensure that necessary workforce reductions are conducted in a manner that encourages voluntary separations, assists displaced workers in securing new employment, provides basic benefits for a reasonable transition period, and conforms to cost guidance and best business practices.
- Ensure that workforce restructuring is conducted in a manner that retains critical skills for ongoing mission requirements, enhances efficiency, and accurately forecasts mission performance implications of potential future budget reductions.

Success Indicators:

- Reduction of workforce separation prior to completion of the mission at hand and the closure of Departmental facilities.
- Reduction of displaced workforce on unemployment.

OBJECTIVE 3C

Promote an improved working relationship between labor and management in the Department's contractor workforce by ensuring the uniform application of relevant labor standards to increase productivity, enhance safety and security, and reduce disruptive labor disputes.

Strategies:

- Establish policy for and oversee the collective bargaining process.
- Assist field organizations in labor/management relations.
- Implement the contract reform initiative, outsourcing policy, and other strategic alignment elements.

Success Indicator:

- Annual cost savings (as compared to the one-time cost of separation).

STRATEGIC GOAL #4

Manage Legacy Land and Assets, Emphasizing Safety, Reuse, and Disposition.

This goal recognizes a Departmental need for coordinated management of legacy assets, including coordinating land use planning and protecting natural, cultural, and historical resources.

The Department is the fourth-largest Federal landowner, conducting its mission at 50 major sites on 2.4 million acres across the United States. In addition to land, the Department's assets include distinctive world-class facilities; irreplaceable natural and cultural history; and rare assemblages of plants, animals, and mineral resources. Numerous sites and tens of thousands of acres of land will be transferred to Legacy Management after active environmental remediation is complete. The office will act as a steward for lands under its authority, overseeing the proper management of these manmade and natural resources and ensuring their beneficial use for current and future generations.

Legacy Management will consider environmentally sound future land uses for its properties. The nature and scope of commercial activities have changed over time and will continue to evolve as new technologies are developed and as the U.S. population increases, particularly in the West. To accommodate future competing demands for limited resources, Legacy Management will direct even greater effort to maintaining healthy land and evaluating possible land reuse options. To accomplish this end, Legacy Management will implement Departmental land use planning processes, taking into account the economic, ecological, social, and cultural factors surrounding each facility or parcel of land. Where compatible with Departmental missions, Legacy Management will

make excess lands and facilities available for public and private use consistent with the tenets of sustainability and good land management practices.

OBJECTIVE 4A

Manage Legacy Management property assets, maintaining the health of the land and cultural, natural, and historical resources.

Strategies:

- Manage Legacy Management's real property assets and evaluate execution through on-site reviews, visits, reports, and assessments.
- Seek to expand opportunities for collaborative land use planning with site management teams to be transferred to Legacy Management.
- Seek to expand opportunities for collaborative land use planning with State, Tribal, and local governmental authorities, as well as other Federal agencies.
- Record, maintain, and share knowledge of natural, cultural, and historical/critical resources through documentation, conservation, information exchange, and public participation.

Success Indicators:

- The development and implementation of a credible and affordable land assessment strategy.
- Periodic reviews of programs and land management strategies and assessment of strategy effectiveness.
- The development and implementation of a sustainable Legacy Management program integrating natural, cultural, and historical resource protection requirements for lands and facilities.

OBJECTIVE 4B

Provide opportunities for land transfer availing Departmental lands to other Federal agencies and nonfederal entities.

Strategies:

- Work with other Federal agencies and external organizations to transfer real property from the Department.
- Work with land users, local communities, and others in updating existing land use plans to address emerging opportunities.

- Investigate viable and environmentally sound land reuse options.

Success Indicator:

- Increase in the number of acres transferred or leased and converted to beneficial use.

OBJECTIVE 4C

Effectively manage and coordinate the Department's requirements for strategic materials.

Strategies:

- Provide advice to the administrator of the Department of Defense's National Stockpile Center on the acquisition and disposition of strategic and critical materials.
- Represent the Department on the Presidential Advisory Management Impact Committee (co-chaired by the Departments of State and Commerce).

Success Indicator:

- Adequate amounts of strategic materials in the stockpile are allocated to the Department for future program needs.

STRATEGIC GOAL #5

Mitigate Community Impacts Resulting from the Cleanup of Legacy Waste and Changing Departmental Missions

This goal recognizes the Department's commitment to mitigating the impacts on communities caused by site closure, changing Departmental missions, and workforce restructuring. The Department has and will continue to assist communities by allocating resources to community reuse organizations through technical assistance that enables communities to create plans that address local, regional, and Departmental interests. Through technical assistance, the Department has helped communities by advising them on job creation and retention through economic development programs.

Additionally, the Department has assisted communities through its personal property reuse program, which promotes the transfer to community reuse organizations, at little or no cost, of Departmental personal property that has been declared excess by local Departmental property managers. This property is used to bring in new business, expand existing business, or fund economic development programs within communities.

Legacy Management will continue to promote and refine these community assistance programs. Through local community reuse organization technical assistance and sales of personal property, the Office will contribute to the diversification of communities' economies affected by Departmental workforce restructuring. Legacy Management will

encourage the reuse of existing Departmental personal property to support community economic viability and diversification.

OBJECTIVE 5A

Effectively coordinate local impact technical assistance and asset management to mitigate the effect of restructuring plans on affected communities.

Strategies:

- Provide an informational clearinghouse to assist local community economic development planning.
- Identify potential sources of both public and private funding outside the Department.
- Provide technical assistance for projects that have a high probability of producing positive results for displaced workers and their affected communities.
- Refine, if necessary, an interagency agreement with the Department of Commerce to gain its independent expertise in evaluating and approving proposals.
- Use excess Departmental assets to help create economic activity and produce replacement employment for workers displaced by workforce restructuring plans.

Success Indicators:

- Maximization of community opportunities and minimization of negative impacts caused by Departmental workforce restructuring.
- Annual cost savings (as compared to the one-time cost of separation).

OBJECTIVE 5B

Effectively work with and assist community reuse organizations to develop viable communities and generate greater cost savings for the Department.

Strategies:

- Provide community reuse organizations with technical assistance to implement projects designed by the community to achieve objectives.
- Help create and retain jobs in the impacted community to diversify the economy and employ displaced workers.
- Identify possible investment by other government programs and private sources that will supplement previous Departmental funding.

- Advocate the transfer of personal property to community reuse organizations, assisting communities in their economic development and restructuring programs.

Success Indicator:

- Increase in the number of jobs created or retained in the community.